

TRANSMITTAL FORM

(To be used for all correspondence
after initial filing)

Application Number	10/762,128
Filing Date	January 20, 2004
First Named Inventor	Nathalie B. Scholler
Art Unit	
Examiner Name	
Attorney Docket No.	730033.409C1

ENCLOSURES (check all that apply)

<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> CD(s), Number of CD(s) _____
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Request for Corrected Filing Receipt	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Amendment/Response	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation, Change of Correspondence Address	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Declaration	<input checked="" type="checkbox"/> Return Receipt Postcard
<input checked="" type="checkbox"/> Information Disclosure Statement; Form PTO-1449	<input type="checkbox"/> Statement under 37 CFR 3.73(b)	<input type="checkbox"/> Additional Enclosure(s) (please identify below): _____ _____ _____
<input type="checkbox"/> Cited References	<input type="checkbox"/> Terminal Disclaimer	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> Request for Refund	
<input type="checkbox"/> Response to Missing Parts under 37 C.F.R. 1.52 or 1.53		
<input type="checkbox"/> Response to Missing Parts/Incomplete Application		

Remarks _____

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Individual Name	Stephen J. Rosenman, Ph.D.	Customer Number 00500
Signature		
Date	April 20, 2004	

CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

Typed or printed name	Jason Anover	
Signature		Date: April 20, 2004

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 172 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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PATENT

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April 20, 2004

Date

Jason Añover

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Nathalie B. Scholler et al.
Application No. : 10/762,128
Filed : January 20, 2004
For : SURFACE RECEPTOR ANTIGEN VACCINES

Docket No. : 730033.409C1
Date : April 20, 2004

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents:

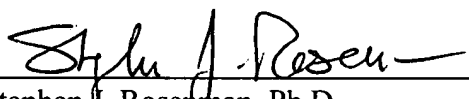
In accordance with 37 C.F.R. §§ 1.56 and 1.97 through 1.98, applicants wish to make known to the Patent and Trademark Office the references set forth on the attached Form PTO-1449. This application relies, under 35 U.S.C. § 120, on the earlier filing date of prior Application No. 09/441,411, filed November 16, 1999. The references listed on the attached Form PTO-1449 were submitted to and/or cited by the Patent and Trademark Office in this prior application and, therefore, are not required to be provided in this application. If the Examiner wishes, copies will be provided upon request. As to any reference supplied, applicants do not admit that it is "prior art" under 35 U.S.C. §§ 102 or 103, and specifically reserve the right to traverse or antedate any such reference, as by a showing under 37 C.F.R. § 1.131 or other method. Although the aforesaid references are made known to the Patent and Trademark Office in compliance with applicants' duty to disclose all information they are aware of which is

believed relevant to the examination of the above-identified application, applicants believe that their invention is patentable.

Please acknowledge receipt of this Information Disclosure Statement and kindly make the cited references of record in the above-identified application.

Applicants believe this Information Disclosure Statement has been timely filed, however, the Director is authorized to charge any fee due by way of this Information Disclosure Statement to our Deposit Account No. 19-1090.

Respectfully submitted,
Seed Intellectual Property Law Group PLLC



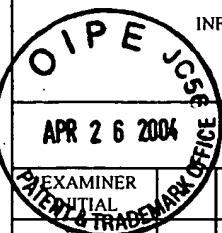
Stephen J. Rosenman, Ph.D.
Registration No. 43,058

Enclosures:

Postcard
Form PTO-1449

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474769

FORM PTO-1449 (REV.7-80)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY. DOCKET NO. 730033.409C1		APPLICATION NO. 10/762,128	
 INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)				APPLICANTS Nathalie B. Scholler et al.		GROUP ART UNIT	
				FILING DATE January 20, 2004			
U.S. PATENT DOCUMENTS							
EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE	
AA	5,478,556	12/26/95	Elliott et al.	424	852		
AB	5,571,711	11/05/96	Van der Bruggen et al.	435	240.2		
AC	5,596,090	01/21/97	Hoke t al.	435	6		
AD	5,683,886	11/04/97	Van der Bruggen et al.	435	7.24		
AE	5,891,432	04/06/99	Hoo	424	93.21		
FOREIGN PATENT DOCUMENTS							
	DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION			
AF	2241703	9/11/91	GB	YES NO			
AG	9-75090	3/25/91	JP	YES NO			
AH	0668350 A1	08/23/95	EP	YES NO			
AI	WO 96/11279	04/18/96	WIPO	YES NO			
AJ	WO 96/40039	12/19/96	WIPO	YES NO			
AK	WO 98/08947	03/05/98	WIPO	YES NO			
OTHER PRIOR ART (Including Author, Title, Date, Pertinent Pages, Etc.)							
AL	Adema et al., "Molecular Characterization of the Melanocyte Lineage-Specific Antigen gp100," <i>The Journal of Biological Chemistry</i> 269(31):20126-20133, 1994.						
AM	Banchereau, "Interleukin-4," in Angus W. Thomson (ed.), <i>The Cytokine Handbook</i> , Academic Press Limited, California, 1991, pp. 119-148.						
AN	Bargmann et al., "Multiple Independent Activations of the <i>neu</i> Oncogene by a Point Mutation Altering the Transmembrane Domain of p185," <i>Cell</i> 45:649-657, 1986.						
AO	Barnd et al., "Specific, Major Histocompatibility Complex-Unrestricted Recognition of Tumor-Associated Mucins by Human Cytotoxic T Cells," <i>Proc. Natl. Acad. Sci. USA</i> 86:7159-7163, 1989.						
AP	Baselga et al., "Recombinant Humanized Anti-HER2 Antibody (Herceptin™) Enhances the Antitumor Activity of Paclitaxel and Doxorubicin Against HER2/ <i>neu</i> Overexpressing Human Breast Cancer Xenografts," <i>Cancer Research</i> 58:2825-2831, 1998.						
EXAMINER				DATE CONSIDERED			
* EXAMINER: Initial if reference considered, whether or not criteria is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant(s).							

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*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	BA						
FOREIGN PATENT DOCUMENTS							
		DOCUMENT NUMBER	DATE	COUNTRY		TRANSLATION	
						YES	NO
	BB						
OTHER PRIOR ART (Including Author, Title, Date, Pertinent Pages, Etc.)							
	BC	Bier et al., "Anti-(Epidermal Growth Factor) Receptor Monoclonal Antibodies for the Induction of Antibody-Dependent Cell-Mediated Cytotoxicity Against Squamous Cell Carcinoma Lines of the Head and Neck," <i>Cancer Immunol. Immunother.</i> 46:167-173, 1998.					
	BD	Borriello et al., "Differential Expression of Alternate mB7-2 Transcripts," <i>Journal of Immunology</i> 155(12):5490-5497, 1995.					
	BE	Buonavista et al., "DNA Immunization with a Combination of Rat Neu Antigen, CD86, and 4-1BB Ligand Results in the Generation of HER-2/neu (HER-2) Antigodies in Neu Transgenic Mice," <i>Cancer Gene Therapy</i> 5(6):S2, Abstract No. O-5, 1998.					
	BF	Conry et al., "Selected strategies to augment polynucleotide immunization," <i>Gene Therapy</i> 3(1):67-74, January 1996.					
	BG	DeGrado et al., "Sequence and Structural Homologies Among Type I and Type II Interferons," <i>Nature</i> 300(25):379-381, 1982.					
	BH	Disis et al., "Existent T-Cell and Antibody Immunity of HER-2/neu Protein in Patients with Breast Cancer," <i>Cancer Research</i> 54:16-20, 1991.					
	BI	Donnelly et al., "DNA Vaccines," <i>Annual Review of Immunology</i> 15(1):617-648, 1997.					
	BJ	Eck et al.; <i>Goodman's and Gilman's the Pharmacological Basis of Therapeutics</i> , McGraw-Hill, New York, 1996 "Gene Based Therapy," pp. 77-101.					
	BK	Ehrenfeld and Semler, "Anatomy of the Poliovirus Internal Ribosome Entry Site," <i>Current Topics in Microbiology and Immunology</i> 203:66-83, 1995.					
	BL	Emtage et al., "Enhanced Interleukin-2 Gene Transfer Immunotherapy of Breast Cancer by Coexpression of B7-1 and B7-2," <i>Journal of Interferon and Cytokine Research</i> 18(11):927-937, 1998.					
	BM	Farrar and Schreiber, "The Molecular Cell Biology of Interferon- γ and Its Receptor," <i>Annu. Rev. Immunol.</i> 11:571-611, 1993.					
EXAMINER				DATE CONSIDERED			
<p>* EXAMINER: Initial if reference considered, whether or not criteria is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant(s).</p>							

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INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)				APPLICANTS Nathalie B. Scholler et al.			
				FILING DATE January 20, 2004		GROUP ART UNIT	
U.S. PATENT DOCUMENTS							
*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	CA						
FOREIGN PATENT DOCUMENTS							
		DOCUMENT NUMBER	DATE	COUNTRY		TRANSLATION	
						YES	NO
	CB						
OTHER PRIOR ART <i>(Including Author, Title, Date, Pertinent Pages, Etc.)</i>							
	CC	Freeman et al., "B7, A New Member of the Ig Superfamily with Unique Expression on Activated and Neoplastic B Cells," <i>J. of Immunol.</i> 143(8):2714-1722, 1989.					
	CD	Freeman et al., "Murine B7-2, an Alternative CTLA4 Counter-Receptor that Costimulates T Cell Proliferation and Interleukin 2 Production," <i>J. Exp. Med.</i> 178:2185-2192, 1993.					
	CE	Freeman et al., "Structure, Expression, and T Cell Costimulatory Activity of the Murine Homologue of the Human B Lymphocyte Activation Antigen B7," <i>J. Exp. Med.</i> 174:625-631, 1991.					
	CF	Gertschmayer, B. et al., "Costimulation of T Cell Proliferation by a Chimeric B7-2 Antibody Fusion Protein Specifically Targeted to Cells Expressing the Erbb2 Proto-Oncogene," <i>J Immunol.</i> 158(10):4584-90, May 1997.					
	CG	Gold and Freedman, "Demonstration of Tumor-Specific Antigens in Human Colonic Carcinomata by Immunological Tolerance and Absorption Techniques," <i>J. Exp. Med.</i> 121(3):439-462, plate 35-plate 39, 1965.					
	CH	Goodwin et al., "Molecular Cloning of a Ligand for the Inducible T Cell Gene 4-1BB: A Member of an Emerging Family of Cytokines with Homology to Tumor Necrosis Factor," <i>Eur. J. Immunol.</i> 23:2631-2641, 1993.					
	CI	Gray et al., "Expression of Human Immune Interferon cDNA in <i>E. coli</i> and Monkey Cells," <i>Nature</i> 295:503-508, 1982.					
	CJ	Greene et al., "Covalent Dimerization of CD28/CTLA-4 and Oligomerization of CD80/CD86 Regulate T Cell Costimulatory Interactions," <i>The Journal of Biological Chemistry</i> 271(43):26762-26771, 1996.					
	CK	Hellström and Hellström, "T Cell Immunity to Tumor Antigens," <i>Critical Reviews in Immunology</i> 18:1-6, 1998.					
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	DA						
FOREIGN PATENT DOCUMENTS							
		DOCUMENT NUMBER	DATE	COUNTRY		TRANSLATION	
						YES	NO
	DB						
OTHER PRIOR ART <i>(Including Author, Title, Date, Pertinent Pages, Etc.)</i>							
	DC	Hoffman et al., "Antitumor Activity of Anti-Epidermal Growth Factor Receptor Monoclonal Antibodies and Cisplatin in Ten Human Head and Neck Squamous Cell Carcinoma Lines," <i>Anticancer Research</i> 17:4419-4426, 1997.					
	DD	June et al., "Role of the CD28 Receptor in T-Cell Activation," <i>Immunol. Today</i> 11:211-216, 1990.					
	DE	Kawakami et al., "Cloning of the Gene Coding for a Shared Human Melanoma Antigen Recognized by Autologous T Cells Infiltrating Into Tumour," <i>Proc. Nat. Acad. Sci. USA</i> 91:3515-3519, 1994.					
	DF	Keegan et al., "The Interleukin-4 Receptor: Signal Transduction by a Hematopoietin Receptor," <i>J. Leukocyt. Biol.</i> 55:272-279, 1994.					
	DG	Kim et al., "Development of a Multicomponent Candidate Vaccine for HIV-1," <i>Vaccine</i> 15(8):879-883, 1997.					
	DH	Kwon and Weissman, "cDNA Sequences of Two Inducible T-Cell Genes," <i>Proc. Nat. Acad. Sci. USA</i> 86:1963-1967, 1989.					
	DI	Li et al., "Costimulation by CD48 and B7-1 Induces Immunity Against Poorly Immunogenic Tumors," <i>J. Exp. Med.</i> 183:639-644, 1996.					
	DJ	Linsley et al., "CD28 Engagement by B7/BB-1 Induces Transient Down-Regulation of CD28 Synthesis and Prolonged Unresponsiveness to CD28 Signaling," <i>J. Immunol.</i> 150(8):3161-3169, 1993.					
	DK	Linsley et al., "Human B7-1 (CD80) and B7-2 (CD86) Bind with Similar Avidities but Distinct Kinetics to CD28 and CTLA-4 Receptors," <i>Immunity</i> 1:793-801, 1994.					
	DL	Liu, "Vaccine Developments," <i>Nature Medicine Vaccine Supplement</i> 4(5):515-519, 1998.					
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	EA						
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						YES	NO
	EB						
OTHER PRIOR ART <i>(Including Author, Title, Date, Pertinent Pages, Etc.)</i>							
	EC	Melero et al., "Amplification of Tumor Immunity by Gene Transfer of the Co-Stimulatory 4-1BB Ligand: Synergy with the CD28 Co-Stimulatory Pathway," <i>Eur. J. Immunol</i> 28:1116-1121, 1998.					
	ED	Pardoll, "Cancer Vaccines," <i>Nature Medicine Vaccine Supplement</i> 4(5):525-531, 1998.					
	EE	Petit et al., "Neutralizing Antibodies Against Epidermal Growth Factor and ErbB-2/ <i>neu</i> Receptor Tyrosine Kinases Down-Regulate Vascular Endothelial Growth Factor Production by Tumor Cells <i>In Vitro</i> and <i>In Vivo</i> ," <i>American Journal of Pathology</i> 151(6):1523-1530, 1997.					
	EF	Pietras et al., "Antibody to HER-2/ <i>neu</i> Receptor Blocks DNA Repair After Cisplatin in Human Breast and Ovarian Cancer Cells," <i>Oncogene</i> 9:1829-1838, 1994.					
	EG	Plowman et al., "Heregulin Induces Tyrosine Phosphorylation of HER4/p180 ^{erbB4} ," <i>Nature</i> 366:473-475, 1993.					
	EH	Rees et al., "Bicistronic Vector for the Creation of Stable Mammalian Cell Lines that Predisposes All Antibiotic-Resistant Cells to Express Recombinant Protein," <i>Biotechniques</i> 20(1):102-109, 1996.					
	EI	Reiter and Rapport, "Dual Effects of Cytokines in Regulation of MHC-Unrestricted Cell Mediated Cytotoxicity," <i>Crit. Rev. Immunol.</i> 13(1):1-34, 1993.					
	EJ	Rinderknecht et al., "Natural Human Interferon- γ ," <i>J. Biol. Chem.</i> 259(11):6790-6797, 1984.					
	EK	Schlom and Hodge, "The diversity of T-cell co-stimulation in the induction of antitumor immunity," <i>Immunological Reviews</i> 170:73-84, August 1999.					
	EL	Sugimoto et al., "Efficient Expression of Drug-Selectable Genes in Retroviral Vectors Under Control of an Internal Ribosome Entry Site," <i>Bio/Technology</i> 12:694-698, 1994.					
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						YES	NO
	FB						
OTHER PRIOR ART <i>(Including Author, Title, Date, Pertinent Pages, Etc.)</i>							
	FC	Tascon et al. "Polynucleotide Vaccination Induces a Significant Protective Immune Response against Mycobacteria," <i>Vaccines</i> 96:45-49, 1996.					
	FD	Topalian et al., "Human CD4+ T Cells Specifically Recognize a Shared Melanoma-Associated Antigen Encoded by the Tyrosine Gene," <i>Proc. Nat. Acad. Sci. USA</i> 91:9461-9465, 1994.					
	FE	Trowbridge and Omary, "Human Cell Surface Glycoprotein Related to Cell Proliferation is the Receptor for Transferrin," <i>Proc. Nat. Acad. USA</i> 78(5):3039-3043, 1981.					
	FF	Udayachander et al., "Anti-Tumor Activity of Monoclonal Antibody CIBCNSH3 Generated to the Human EGF Receptor," <i>Hum. Antibodies</i> 8 (2):60-64, 1997, abstract only					
	FG	van den Bruggen et al., "A Gene Encoding an Antigen Recognized by Cytolytic T Lymphocytes on a Human Melanoma," <i>Science</i> 254:1643-1647, 1991.					
	FH	Verma, I. et al., "Gene Therapy -- Promises, Problems and Prospects," <i>Nature</i> 389(6648):239-42, September 1997.					
	FI	Wang and Siddiqui, "Structure and Function of the Hepatitis C Virus Internal Ribosome Entry Site," <i>Curr. Top. Microbiol. Immunol</i> 203:99-115, 1995.					
	FJ	Weber et al., "Tumor Immunity and Autoimmunity Induced by Immunization with Homologous DNA," <i>J. Clin. Invest</i> 102:1258-1264, 1998.					
	FK	Yoshino et al., "Association of HER2/neu Expression with Sensitivity to Tumor-Specific CTL in Human Ovarian Cancer," <i>J. Immunol.</i> 152:2393-2400, 1994.					
	FL	Zitvogel et al., "Interleukin-12 and B7.1 Co-Stimulation Cooperate in the Induction of Effective Antitumor Immunity and Therapy of Established Tumors," <i>Eur. J. Immunol.</i> 26:1335-1341, 1996.					
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